

JTAC Case Management System Frequently Asked Questions

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Introduction

Since the Supreme Court announced CA as the CMS vendor and established its Policy Statement on Case Management Systems, many excellent questions regarding aspects of the CMS project have been asked of JTAC. As a result, JTAC has compiled a comprehensive list of Frequently Asked Questions (FAQ) for publication to the website.

It is important to note that this list--both its questions and its answers--is the result of widespread collaboration between members of JTAC, State Court Administration, CA project staff, and many stakeholders in the justice community. It is also important to note that these FAQs are highly dynamic. Some of the questions that have been asked don't yet have solid answers. Undoubtedly, some answers will change over time. And some questions haven't even been asked yet.

The publication of these CMS FAQs is an attempt to foster communication between the project staff and all the stakeholders in the justice community. In short, the FAQs are meant to be a good faith effort of responding to questions as we understand issues today. If you have a question that you'd like to have answered and added to the CMS FAQ list, please email Kurt Snyder at ksnyder@courts.state.in.us.

Section 1: Judicial Technology and Automation Committee (JTAC)

1.1 What is JTAC?

The Indiana Supreme Court established its Judicial Technology and Automation Committee (JTAC) in 1999 in recognition of the growing impact of modern computer technology and innovation on the business of the judiciary. The formation of JTAC followed approximately six years of research and planning conducted by the Court's Division of State Court Administration (Division), with generous financial support from the Indiana Criminal Justice Institute (CJI), to improve the way in which Indiana trial courts and court clerks manage their caseloads. That research and planning, known as the AIMS Project, together with the rapid evolution of the software and technology involved, led JTAC to conclude that it would be in the best interest of Indiana's judicial system to be equipped with a comprehensive automated case management system that would: (1) allow Indiana trial courts and court clerks to manage their caseloads faster and more cost-effectively; (2) provide users of Indiana trial court information, notably law enforcement agencies, state policymakers, and the public, with more timely, accurate, and comprehensive information; and (3) reduce the cost of trial court operations borne by Indiana counties.

The committee consists of nine judges representing small, medium, and large counties. It is staffed by the Division of State Court Administration:

Chairperson

Hon. Frank Sullivan, Jr., *Indiana Supreme Court*

Vice Chairperson

Hon. Paul Mathias, *Indiana Court of Appeals*

Hon. Cynthia J. Ayers, *Marion Superior Court*
Hon. Sherry L. Biddinger-Gregg, *Knox Circuit Court*
Hon. Christopher L. Burnham, *Morgan Superior Court*
Hon. Dean A. Colvin, *Marshall Superior Court*
Hon. Jeffery J. Dywan, *Lake Superior Court*
Hon. Edward W. Najam, Jr., *Indiana Court of Appeals*
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JTAC Case Management System Frequently Asked Questions

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Additional information about JTAC can be found at its website at www.IN.gov/judiciary/jtac.

1.2 What are the goals of JTAC?

In order to develop a uniform policy on implementation of information technology by the Indiana Judicial System, the Indiana Supreme Court Judicial Technology and Automation Committee (JTAC) will focus on the following three goals:

- Equipping every Indiana trial court with a 21st century case management system.
- Connecting current case management systems, and the 21st century systems as they come online, with each other and with local and state entities that need and use court information.
- Providing Indiana judges and court clerks and their staffs with additional computer resources to assist them in their work and better serve the public.

To accomplish the first two goals, JTAC has recommended, and the Supreme Court has adopted, a policy under which a new computerized case management system (the "new CMS") will be provided to and installed in any county that requests it largely at state expense. The new CMS is being acquired from Computer Associates International, Inc. (CA). To read the Supreme Court's Policy Statement on Trial Court Case Management Systems, see <http://www.in.gov/judiciary/jtac/cms/PolicyStatement.pdf>.

1.3 What are the funding sources for JTAC and this CMS project?

The primary source of funding for implementation of the new statewide case management system is the Automated Recordkeeping Fee authorized by Ind. Code § 33-19-6-19. This is a fee assessed for filing any case in an Indiana court. The fee was established at \$2 until June 30, 2002; then increased to \$5 from July 1, 2002, through June 30, 2003; will rise to \$7 from July 1, 2003, through June 30, 2009; and will continue at \$4 thereafter. The Legislative Services Agency estimates that this fee will generate approximately \$5.3 million in FY 2003 and \$7.4 million per year in FY 2004 through FY 2009. Initial indications suggest that this estimate is slightly higher than actual receipts. In addition, JTAC has received direct appropriations and grants from the Criminal Justice Institute (CJI) in FY 2002 totaling approximately \$2.0 million and anticipates annual appropriations and CJI grants of approximately the same amount in future years. The balance of the funding for the project is expected to come from additional federal and state appropriations and grants and from local government contributions, including in-kind

Section 1: Judicial Technology and Automation Committee (JTAC)

contributions of hardware and technical assistance. For example, Marion County recently provided its court employees with new desktop personal computers and printers. Marion County also maintains a sophisticated technology staff. As a result, it will not be necessary for JTAC to pay for hardware or technical assistance for Marion County. To the extent possible, JTAC does not anticipate seeking local contributions any greater than amounts currently being spent by counties for court technology.

Many individuals played important roles in the passage of the legislation creating the Automated Recordkeeping Fee, and JTAC is deeply grateful for their assistance. These include, but are not limited to, Chief Justice Randall T. Shepard; Marion County Clerk Sarah Taylor; Senate President Pro Tempore Robert Garton; State Senators Richard Bray, J. Murray Clark (the author of the bill), Richard Young, and William Alexa; House Speaker John Gregg; and Representatives Dale Sturtz (the House sponsor of the bill), Robert Kuzman, Mike Dvorak, Brian Bosma, and Ralph Foley.

Section 2: Vendor Selection Issues

2.1 What was the process for selecting the vendor?

Following the September 2001, Indiana Judicial Conference, JTAC initiated a process to identify vendors that could assist the Committee in achieving its goal. This process proceeded with two objectives in mind. First, it was of overriding importance to JTAC that the process be-and be perceived to be-open and fair to all interested parties. Second, JTAC sought to encourage innovation in the proposals submitted, not specifying any absolutely mandatory requirements as to functionality, implementation, or other elements.

The process began with an itemization of those features that a 21st Century case management system should contain. The features were identified, first, from the work of the AIMS Project; second, from similar materials prepared by the National Center for State Courts, other states, and other entities; and third, from suggestions made by Indiana trial court judges, clerks, and other interested persons. The features were embodied in a "Public Notice of Contracting Opportunities" (PNCO) sent in December to the vendor community. JTAC received 35 responses, most of which were for case management systems. Some vendors responded only to more discrete contracting opportunities, e.g., data warehouse.

The JTAC staff performed a comprehensive review of each of the responses. Trial court judges, county IT staff, and county clerks were also invited to review the responses. Personnel involved in court technology in Marion County were invited to, and did, review the responses. At the same time that JTAC was reviewing responses to the PNCO, the Marion County Superior Court was conducting a "process review" of court operating procedures with the assistance of an independent consulting firm, Crowe Chizek. Personnel involved in the Marion County process review, including Crowe Chizek, also assisted in the PNCO review.

The full JTAC committee held three meetings to evaluate the PNCO responses. The first two meetings, held on February 6, 2002, and March 12, 2002, were used to review the evaluations by JTAC staff and other interested parties. At the second meeting, the full committee concluded that three proposals were particularly attractive and warranted detailed review. These proposals were submitted by (1) Affiliated Computer Services, Inc. (ACS), (2) Computer Associates International, Inc. (CA), and (3) MAXIMUS, Inc. (Maximus). At the third meeting, held on May 3, 2002, the committee made its final review and recommendation.

Two days of vendor demonstrations and business discussions were subsequently conducted with each of ACS, CA, and Maximus. Each vendor responded to a set of questions prepared by Division staff. Representatives from courts throughout the state-including judges, IT staff, and clerk staff-participated in the demonstrations. Some of those representatives also participated in the business discussions. On May 3, 2002, JTAC met for a third time and adopted a motion to recommend to the Supreme Court that it select CA as the vendor for the statewide CMS. On May 9, 2002, the Supreme Court accepted the May 3 recommendation and adopted the new CMS policy.

2.2 How many proposals were received by the Division?

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The division received proposals from the following 35 companies:

- ACS Government Systems (ACS)
- Arthur Andersen, LLP
- Compaq Computer Corporation
- Computer Associates (CA)
- Creative Data Solutions
- Computer Systems, Inc. (CSI)
- Daniels Associates
- Data Design
- Deloitte Consulting
- Esource Consulting
- Gartner Consulting
- Gottlieb & Wertz
- Greacan Associates
- Henschen & Associates
- IBM
- iMS - Dynetics
- Integris / Bull
- Justice Systems
- Law Manager, Inc.
- LexisNexis
- Manatron
- Maximus - Justice Solutions Division
- Motorola
- Paperless Business Solutions, LLC
- PEC Solutions, Inc.
- ProLaw
- Quest Information Systems
- Quovadx, Inc.
- S Square Technologies
- Sustain Technologies
- Sybase, Inc.
- Technical Youth
- Tiburon Justice Group
- Tyler Technologies
- Verilaw Technologies

2.3 Are the proposals and the CA contract documents available to the public?

Yes. Proposals submitted by the three finalists for the contract with Indiana are available online, as are the business discussions between those companies and the Division. The contract documents with CA are also online. All of these can be found on the JTAC website at the Statewide Case Management System Information Center: www.IN.gov/judiciary/jtac/cms.html.

If you would like to view the proposals of any of the 32 companies that were not selected as finalists, please contact Mary Kronoshek at (317) 234-2542 or mkronosh@courts.state.in.us for an appointment. These proposals may only be viewed in the office of the Division of State Court Administration:

115 West Washington Street, Suite 1080
Indianapolis, IN 46202
(317) 232-2542
(317) 233-6586

2.4 Why was CA selected?

At the JTAC meeting on May 3, 2002, the full committee and the staff reviewed the results of the product demonstrations and business discussions, the results of reference checks conducted by the

JTAC staff, and comments on the three finalist vendors' products from judges, IT staff, clerk staff, and others who had participated in the evaluation process.

Among the principal issues discussed were:

1. The functionality of each vendor's system, i.e., how each system would operate in the courts and clerks' offices;
2. Each vendor's proposed implementation methodology, i.e., how its product would be customized to meet Indiana requirements and then installed in each county with a configuration meeting the county's requirements;
3. The relative cost of each proposal;
4. The approach of each vendor to ownership of source code and support of modifications of source code;
5. The adaptability of each vendor's product to technological change;
6. The approach that each vendor would take to data conversion from legacy systems;
7. The way in which each vendor would approach the issue of creating interfaces with state agency systems and legacy systems;
8. The breadth of the overall proposal;
9. Each vendor's experience with courts, Indiana generally, Indiana government, and large scale implementations; and
10. The extent to which each vendor's proposed system would permit the Indiana judiciary to be a good partner with others in government, e.g., (a) providing an accounting package to county clerks that could be used for non-court financial transactions; (b) assisting in implementation of the statewide voter registration project being spearheaded by the Secretary of State; and (c) assisting state agencies in preparing reports relying in part on court data.

All of the finalist vendors' proposals were extremely impressive in many respects. In particular, each offered functionality that would well serve Indiana courts. However, at the conclusion of the review, JTAC was of the view that the CA proposal offered the strongest combination of features at the most favorable price. It is for that reason that JTAC unanimously recommended to the Supreme Court that CA be designated as the vendor for the statewide CMS.

Section 3: Basic Questions about Computer Associates

3.1 Generally, what can you tell me about Computer Associates?

Founded in 1976, CA serves organizations in more than 100 countries, including 99 percent of the Fortune 500 companies. CA is a multi-billion dollar company with approximately 16,000 employees that has worldwide offices with its head quarters in Islandia, New York. It is typically considered the third largest software company in the world.

CA's world-class solutions address all aspects of eBusiness management through industry-leading brands: Unicenter for infrastructure management, eTrust for security management, BrightStor for storage management, CleverPath for portal and business intelligence, AllFusion for application life cycle management, Advantage for data management and application development, and Jasmine for object-oriented database technology.

For more information, visit <http://ca.com>.

3.2 Does CA have a presence in Indiana?

Yes. Many of the state's largest organizations are CA clients such as Sallie Mae, Lincoln National, Anthem, Indiana University, Auditor of the State of Indiana, State of Indiana Department of Information Technology, Marion County, and the Indiana State Police, served through CA's offices in Indianapolis. CA's Indianapolis office is located at 96th Street and Meridian with forty-five employees, excluding the CMS project staff.

3.3 Does CA employ the feedback of User Groups?

Yes. Currently, CA supports over 300 user groups (which in turn support CA's annual user conferences) that maintain a direct link between the users and developers of CA software products. In fact, as the CMS project progresses, CA and JTAC plan to investigate the formation of Indiana-specific user groups so that judicial employees, attorneys, and the public can all participate in the continued development, upgrade, and enhancement of the CA tools that will form the basis of Indiana's CMS. For more information about CA user groups, please visit <http://www.causergroups.com/usergroups/>.

Section 4: Basic Questions Regarding the New Supreme Court CMS Policy Adopted on May 9, 2002

For the full text of the Supreme Court Policy Statement on Trial Court Case Management Systems, see **Appendix A** or visit <http://www.in.gov/judiciary/jtac/cms/PolicyStatement.pdf>.

4.1 What if I already have a CMS System?

Under the terms of the Supreme Court Policy Statement, counties are not required to install the new CMS. The Policy Statement also guarantees that counties may continue to use existing case management systems for at least four years. See FAQ 4.3.

If a county elects to continue to use its existing case management system and later decides to "upgrade substantially or acquire" a new case management system other than the new JTAC-sponsored CMS, your county must receive approval from the Division of State Court Administration (Division). This requirement has existed under Trial Rule 77(J) (See *Indiana Rules of Trial Procedure* at http://www.in.gov/judiciary/rules/trial_proc/index.html#r77) for some time. Approval will be granted if the Division "is satisfied that the system being upgraded or acquired can be connected with the statewide case management system in a way that permits the secure sharing of information in both directions to a substantially similar extent as information is shared between counties within the statewide case management system. A condition of approval will be that an appropriate interface exists or will be provided at the requesting county's expense between the system being upgraded or acquired and the statewide case management system." Requirements regarding the maintenance or upgrade of a county's system are covered in sections 4 and 5 of the Policy Statement respectively.

4.2 If a county elects to utilize the new CMS, what will it cost?

The Supreme Court intends to provide and install the CMS in each county at state expense; however, the Court does not have sufficient funds to pay all of the additional costs associated with operating the new CMS. The Court does expect that the local contributions of any county will not be required in an amount greater than that currently being spent by the county for court technology.

More specifically, the Supreme Court contemplates that the state will be responsible for the cost of acquiring and installing the software in each county, for initial training in each county, for statewide system servers, for the communications network connecting the counties with each other and with state agencies, and for the ongoing costs of statewide systems' software licenses and maintenance. On the other hand, the Supreme Court contemplates that counties will be asked to bear or at least share the cost of local servers, if any, desktop computers and related equipment, data conversion, and local technological support. However, these allocations of financial responsibility are general contemplations only and likely will vary according to the state fiscal resources available for this project and from county to county based on local needs and conditions.

Counties should anticipate that the state will pay for the new system itself, installing it in the counties, and paying state-level operating costs (including CMS and other software license fees,

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etc.). Counties should also anticipate that they will need to fund or assist with funding: (1) the equipment and maintenance of desktop computers in their counties; (2) the connection between these desktops; (3) the monthly cost to connect to the Indiana state network; and (4) the cost of the conversion of county data to the new CMS if this is necessary. As noted above, JTAC hopes to limit the local contribution of any county to an amount no greater than the amount currently being spent by the county for court technology.

4.3 Will JTAC provide funding for solutions other than the one being offered by Computer Associates?

At this time, JTAC does not have the funding to support solutions other than the one being offered by Computer Associates.

4.4 Will the new CMS be mandated after four years?

No decision has been made on this point. JTAC believes that it would be inappropriate to assume that the new CMS will ever be mandated. JTAC wants every county in the state to have a 21st century case management system so that counties can share information. The sharing of information is what is important to JTAC, not the particular CMS. In other words, counties may elect, at their expense, to utilize any CMS they want as long as it is interfaced with other systems within the justice community. The Supreme Court reserves the right to require a particular system at some point in the future if necessary to achieve JTAC's overall goals. See FAQ 1.2.

4.5 What can I do to get involved?

This project is enormous and will affect many individuals and entities. To succeed, JTAC will need the help of all the stakeholders in a new CMS, including trial court judges, county clerks, prosecutors, probation officers, law enforcement officers, county IT personnel, lawyers, and others who use court information. The system will only be as good as the effort made to collaborate and share best practices across jurisdictional boundaries. Over the next several months, the new system will be customized and configured to fit the needs of our state based on the advice of those stakeholders. Your participation, assistance, and patience are critical to the project's success. This simply cannot be a top-down approach, so local-level help will be necessary and appreciated.

If your county is interested in installing the 21st century case management system, read the Supreme Court Policy Statement on Case Management Systems (PDF) and then ask yourself: "What would need to happen in my county for it to take advantage of the new JTAC 21st century case management system?" Documenting the procedures, processes, and features of your current system and writing down your thoughts on what a 21st century case management system should do would greatly assist us in making the statewide CMS a success.

Third, you need to stay abreast of what JTAC is doing, since this is a dynamic situation. Great ways to do that are to subscribe to the JTAC newsletter (www.IN.gov/judiciary/jtac/news.html), bookmark the Statewide CMS Information Center web page (www.IN.gov/judiciary/jtac/cms.html) in your web browser, or volunteer to participate in a hands-on, face-to-face way.

JTAC is currently assembling teams of stakeholders to advise and work with CA as it customizes its basic CMS to meet Indiana's needs and requirements. If you would like to get involved in this process of tailoring the new CMS to Indiana's specific needs, contact JTAC immediately.

4.6 Will JTAC seek the input of clerks and prosecutors, or will this be another ISETS?

Everyone recognizes that the ISETS implementation was not as successful as it could have been. JTAC has studied the shortcomings of the ISETS project and has learned from that endeavor. It is clear that the new CMS has to be examined from many points of view, and all stakeholders are invited to make comments and suggestions, ask questions, and get involved in any way they are willing to, including serving on consulting teams during the developmental stages of the CMS implementation. See FAQ 4.4.

Everyone should understand that this is an enormous project that will undoubtedly require a trial and error approach on occasion. Naturally, we hope to minimize any errors to the extent possible by involving all stakeholders and through methodical preparation and planning.

4.7 If my county were to procure a system such as the one being offered by JTAC, what would it need to spend? In other words, what value should be placed on your offer?

This is a difficult question to answer with any precision due to a variety of factors. For example, JTAC expects to connect the new CMS at state expense to a variety of other entities such as the Indiana State Police (ISP), Bureau of Motor Vehicles (BMV), Family and Social Services Administration (FSSA), Department of Correction (DOC), Department of Revenue (DOR), and ProsLink (a system used by some prosecutors). These interfaces alone could cost a county over a million dollars. Moreover, it is not uncommon for large jurisdictions to pay around \$15 to \$20 million for projects of this nature. In the end it is difficult to pinpoint an exact dollar amount for any county, but it is clear that many counties in Indiana could never afford the type of system that JTAC is offering.

Section 5: Who will benefit from the new CMS?

5.1 Who are the end-users of the CMS?

The system is designed to be used by numerous stakeholders in the justice community, including trial court judges, county clerks, prosecutors, probation officers, law enforcement officers, county IT personnel, lawyers, the public, and others who use court information. The precise extent to which these entities utilize the new CMS remains to be seen and will develop over time. JTAC looks forward to working with all stakeholders in the justice community on this project.

5.2 Generally, what will the new CMS do?

Automation will greatly enhance the ability of courts throughout the state to work together. With growing frequency, information in the possession of a court in one Indiana county is needed by or useful to other courts within that county or courts in other counties. The new system will be able to handle the transfer of this kind of information across county lines. Written intrabranh communication will no longer be conducted solely by fax and mail. Virtually all intrabranh documentary communications can flow through a statewide judicial branch communication network. The communication network will have an e-mail service for communications between individuals, electronic bulletin boards for group communications, and a Portal as the gateway to the CMS and the systems connected to it.

5.3 How about some specific examples?

- (a) Citizens and lawyers will be able to check the status of their cases over the Internet;
- (b) A court will be able to transmit electronically an order suspending (or reinstating) a driver's license to the Bureau of Motor Vehicles immediately after making the ruling;
- (c) The state will be able to have an accurate electronic registry of all domestic violence protective orders issued by Indiana courts;
- (d) A judge facing a criminal defendant in one county will be able to determine electronically whether there are charges pending against that defendant in any other county; and
- (e) Judges, court clerks, prosecutors, lawyers, and their staffs will be able to process electronically countless transactions that are now performed by hand.

5.4 Benefits for End Users

One of the best benefits of automating our judicial system will be that the end users of the system such as the public, attorneys, prosecutors, and local law enforcement agencies will have unparalleled access to information within the judicial system. All court calendars, dockets, announcements, rules (both proposed and final, local and state), judgments, and opinions will be web-enabled and may be available via the new CMS. Individuals will not need to visit a courthouse to obtain basic information about a particular case or their judicial system. Moreover,

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members of the public will be able to easily access basic information about registered attorneys in the state.

Attorneys and Trial Courts

The practicing bar will be able to use the new CMS as a tool for its work. Some services are already available. All Indiana Tax Court, Court of Appeals, and Supreme Court opinions are already online. Presently, Indiana lawyers can also check the status of their continuing legal education online.

With the new CMS, Indiana lawyers will be able to view the CCS in any case in which they are interested in any Indiana court using the CMS. Indiana lawyers should also be able to receive notices of hearings and rulings via e-mail.

The system will automatically collect statewide statistics, relieving trial courts of the burdens of collecting and processing this information locally and communicating it to the Division of State Court Administration.

State-Level Entities

There are numerous non-court entities and individuals that use court information at the state level; the most obvious uses being those made by the Indiana State Police (ISP), Department of Correction (DOC), and Bureau of Motor Vehicles (BMV). Historically, the data generated by the courts has not been promptly made available to these agencies, even though that data is necessary for those agencies to perform their duties. The new CMS will improve court disposition reporting to both the ISP and the BMV.

Entities that Make Policy Decisions

Automation will provide the policy makers of the state with unparalleled access to the information generated by the judicial system. Entities such as the General Assembly, Legislative Services Agency, Commission on Courts, the Supreme Court, the Division of State Court Administration, and the State Budget Agency will be able to make more informed decisions with the improved data at their disposal.

5.5 What type of information will the new CMS collect?

The CMS will serve as a one-stop-shop for information. The new CMS will compile a large common directory of information on people: defendants, suspects, attorneys, judges, witnesses, victims, etc. This directory will serve as a single collection point of information on people in the justice system. Once a person is part of the directory, the entry is maintained permanently, although users with appropriate security clearance will be able to change information when required. The directory will be structured to collect the following information where appropriate:

- Demographics
- Aliases
- Identification
- Employment
- Schooling
- Health
- Treatments
- Substance use
- Notes
- Service information

Section 6: Components, Modules, and Tools

6.1 What kinds of modules will the CMS contain?

The new CMS developed by CA will contain a substantial number of different modules, which expand the functionality of the CMS by adding specialty features needed by particular users. Some of the modules included in the CMS are described below.

Clerk's Financials

The CA system includes a financial package that will be based on recommendations made by county clerks and the State Board of Accounts to meet Indiana needs and requirements. This is a true accounting package that will assist clerks in all their accounting, bookkeeping, and financial management responsibilities - not just court accounting. This system will allow clerks to produce an enormous number of reports including those that are required by the State Board of Accounts and the Division of State Court Administration.

Probation & Community Corrections

The Probation & Community Corrections module will help probation officers and community corrections staff monitor and track individuals on probation or community corrections with sophisticated calendar and reminder systems, allowing them to hold individuals in these programs accountable for their actions and their whereabouts.

Courts

The new CMS will provide complete functionality for all case types and all courts.

Prosecutor and Public Defender

These modules work in similar ways, allowing prosecutors and public defenders alike to monitor the progress of their cases, manage their caseloads, and track exhibits and witnesses.

Drug Treatment and Alcohol

This module will serve drug courts, probation officers, and other court personnel in tracking treatment providers, test results, and the management of those involved in treatment for substance abuse.

Mental Health

This module will contain information on treatment providers, diversion programs, commitment information, etc.

6.2 Will the CMS allow for public access over the web?

Yes. Citizens and attorneys will be able to access court information in a way unlike any other court in the world via state of the art portal technology. Through the portal, users will be able to log in with a secure connection to the judicial network and customize the interface of the portal to meet their needs.

A good example of an existing popular portal is Yahoo.com. At Yahoo, users can register a username with a password and log in securely when they visit the site. Once a user is logged in, he can customize that Yahoo.com home page to include the content specific to his needs. For

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example, if the user likes to play games at Yahoo, he can include a link to the games section of the site on his home page. He can also include local weather and news, links to his favorite online shopping locations, etc., and have direct access to his email at Yahoo and any groups that he is a member of.

Indiana's judicial portal will operate in very much the same way. Judges, clerks, and other court employees will automatically be given access to the portal, as will the 17,000 attorneys practicing in Indiana. Because some of the court information that will be accessible via the CMS is sensitive and/or confidential, different types of users will only have access to the information that is relevant to them.

For a walkthrough/demonstration of the CleverPath Portal, visit the CA website at:

<http://www3.ca.com/cleverpath/portal/>.

6.3 Does the CA solution include a document management system?

Yes. The CA solution includes a content management system capable of storing a variety of electronic files including documents, images, audio, and video. It is not, however, a document imaging system.

6.4 What are the tools and software programs that CA will provide to Indiana under the CMS contract? (Warning: Technical Jargon Ahead)

One of the major benefits of our contract with CA is the fact that their solution includes a variety of computer program or "tools" necessary to implement and maintain a computer system serving a huge enterprise like the Indiana judicial system. CA reports that 99% of all Fortune 500 companies utilize one or more of its products. The descriptions of the CA tools included in our contract that follow are by no means complete or exhaustive. Additional information about CA tools can be found at the CA website at www.ca.com.

CleverPath Portal

CleverPath Portal (formerly known as Jasmine Portal) has been installed at customer sites for more than 4 years. There are currently over 1,000 client sites worldwide using the CleverPath Portal; including more than 750 in the United States. Recently, the U.S. Navy decided to implement the CleverPath Portal to facilitate communication among its approximately 600,000 personnel and 60,000 legacy systems. The CleverPath Portal is being used across many industries, including education agencies and systems, federal, state and local government agencies, commercial and retail enterprises, insurance, healthcare and finance.

For a walkthrough/demonstration of the CleverPath Portal, visit the CA website at:

<http://www3.ca.com/cleverpath/portal/>.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Product.asp?ID=262>.

Benefits: CleverPath Portal integrates data and web-enabled applications into a personalized and engaging environment that can be accessed from web browsers, WAP phones & wireless PDAs. Portal permits agencies to better leverage information assets,

enhance staff productivity, reduce administrative and training costs. Where appropriate, Portal makes sharing of data with suppliers and third party providers easier by giving them a consistent, web-enabled interface to important agency data and applications.

Advantage Data Transformer (formerly DecisionBase Transformer)

Advantage Data Transformer is a powerful data transformation, replication and integration tool that features a flexible, easy-to-use and comprehensive application development environment. Its rich programming language enables organizations to easily define both simple and complex data movement tasks, join data from multiple sources, cleanse data, synthesize new data and synchronize two or more databases on mixed platforms. Advantage Data Transformer is especially well suited to rapid creation of conversion and/or data transformation scripts between disparate databases.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Solution.asp?ID=306>.

Benefits: Advantage Data Transformer automatically generates code to enable easy management of even the most complex transformations. Its rapid graphical development environment includes extensive wizard support, hundreds of predefined transformations and functions, in-context access to metadata and a built-in debugger to simplify and accelerate transformation application development. A graphical workflow manager defines and controls transformation processing - including conditional processing, scheduling interdependencies and external applications such as email, FTP and backups. Predefined and user-created transformations are shareable and reusable, speeding development and promoting the consistency and accuracy of information.

EDBC Base and EDBC IMS Option

EDBC provides realtime, high-performance read/write connectivity to OS/390 Enterprise Databases from mission-critical Windows client/server and Web-deployed (Internet, intranet, and extranet) applications. EDBC directly connects business applications to mainframe-based enterprise databases, such as DB2, IMS, CICS/VSAM, VSAM, CA-IDMS, and CA-Datcom.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Product.asp?ID=1272>.

Benefits: EDBC permits CMS implementers to access mainframe data repositories via standard Structured Query Language (SQL) techniques. This technology simplifies the technical tasks needed to create certain types of interfaces with other systems.

CCC/Harvest w/Openmake

CCC/Harvest provides a comprehensive software change and configuration management solution for a modern development environment. A fundamental principle influencing the design of CCC/Harvest was the desire to create an integrated support framework that would allow users to continue to do business the way they want.

As part of this support framework, CCC/Harvest addresses a wide range of management and development needs. It not only covers the basics with software inventory management and version control, but it provides sophisticated solutions for many different kinds of application management requirements. The inherent flexibility of CCC/Harvest allows users to model many

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types of diverse life cycles. These life cycles range from very simple sequential development models to more complex models that support multiple development paths and concurrent updates.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Product.asp?ID=255>.

Benefit: CMS is a large, complex project where changes to case management software must be carefully tracked and understood. Harvest provides the CMS Project a wide range of change and configuration management tools to enable JTAC technologists to document and approve proposed changes to the case management system and associated software. In short, Harvest enables managers to confirm what changes were made by whom under what authorization.

CleverPath Enterprise Content Management (ECM)

The core server components of CleverPath ECM are developed in J2EE compliant Java. Therefore, the CleverPath ECM server components can run inside any J2EE compliant application server, on a wide variety of runtime platforms, such as Windows 2000, flavors of Unix and Linux. CleverPath ECM is built on top of CleverPath Integration Platform, which readily enables ECM to integrate with a wide variety of data sources and business applications and ERP systems running on a wide range of platforms, such as Windows 2000, Unix and mainframe host systems. CleverPath ECM also embraces the following as key implementation technologies:

- WebDav - for content distribution and submission. WebDav is an XML based protocol commonly adopted as an industry standard for modern content management solutions.
- XML - ECM relies heavily on XML and related technologies such as XSL transform to support a flexible thin-client user interface. This technology also makes ECM ready to serve a wide variety of remote client devices such as wireless devices, PDAs, etc.

CleverPath ECM (ECM) offers the complete set of features required to store, index, retrieve, and publish digital assets such as video, audio, images, documents, and others. Anything that can be converted to a sequence of bytes is considered a digital asset and can be managed by the system.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Product.asp?ID=3007>.

Benefits: Enterprise Content Manager provides an easy-to-use, web-deployed interface that enables organizations to efficiently capture, store, manipulate and publish content and digital assets across the enterprise. ECM's features can be used to streamline workflow, enhance collaboration corporate sharing of knowledge, and address needs for enterprise-wide content management, digital asset management and document management in single tool.

CleverPath Reporter Server and CleverPath Reporter Developer

CleverPath Reporter provides a scalable, enterprise-class solution that enables both novice and expert users easily to create and automatically to distribute customized reports. This reporting solution allows organizations to draw on data from a diverse set of distributed databases and platforms for a complete, accurate view of critical information. Integration with CleverPath Portal

allows users to leverage report content along with other information resources and applications, improving information sharing and promoting collaboration.

CleverPath Reporter is a scalable, multi-tier, distributed enterprise reporting solution. While reports are designed leveraging the power of the desktop, report processing on the server-tier efficiently handles complex calculations, formatting, filtering and sorting. Integration with CleverPath Portal allows users to leverage report content with other information and applications, promoting collaboration and enterprise knowledge sharing.

To learn more about this CA product, please visit the CA website at:
<http://www3.ca.com/Solutions/Product.asp?ID=1282>.

Benefits: Reporter is a scalable, multi-tier distributed enterprise-reporting solution delivering formal information presentation services. Reporter can be used to extract knowledge from information, dramatically reduce the time required to produce new reports, reduce data redundancy, and (through integration with CleverPath Portal) provide for "real-time" analysis (on demand reporting).

Advantage Integration Server (formerly Erwin Jasmine Host Integration Server)

Advantage Integration Server provides a powerful, scalable and robust development and deployment environment for applications. By leveraging proven business logic and data and existing systems and skill-sets, this standards-based solution enables businesses to accelerate time-to-deployment and optimize integration costs while providing intelligent, dynamically personalized applications and portals.

Advantage Integration Server provides bi-directional access and transformation to enterprise data with transaction control, event management and a rich set of application services. It allows for complete location transparency of data and transformation of that data as distributed objects and reusable components. Its broad range of integration capabilities enables it to handle multiple integration styles including messaging, data transformation and process management while providing an easy-to-use integration framework that empowers both IT professionals and business analysts to design and effectively implement complex integration solutions.

Tighter integration of business processes requires moving beyond simple data access to the selective and dynamic sharing of application functionality and content. Full support for industry standards such as XML, SOAP, Java, EJB, CORBA and COM/COM+ ensures partner interoperability. Integration kits are provided to enable seamless operation between Advantage Integration Server and the most popular design, development and language tools.

To learn more about this CA product, please visit the CA website at:
<http://www3.ca.com/Solutions/Product.asp?ID=261>.

Benefits: Advantage Integration Server provides JTAC CMS Project technical staff with bi-directional access and transformation to enterprise data with transaction control, event management and a rich set of application services. It allows for complete location transparency of data and transformation of that data as distributed objects and reusable components. Its broad range of integration capabilities enables it to handle multiple integration styles including messaging, data transformation and process management while providing an easy-to-use integration framework that empowers both IT

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professionals and business analysts to design and effectively implement complex integration solutions.

Unicenter 3.0 Network Systems Management and Unicenter Network Systems Management Database Performance Monitoring Option

Unicenter 3.0 Network and Systems Management enables an organization to deploy and manage a reliable infrastructure that supports their business objectives, by ensuring continuous availability of their infrastructure. As a component of CA's Unicenter family of comprehensive eBusiness Infrastructure Management solutions, Unicenter 3.0 Network and Systems Management enables an enterprise to continuously monitor the health and availability of heterogeneous systems, networks, and other IT elements within and beyond the extended enterprise.

To learn more about this CA product, please visit the CA website at:

<http://www3.ca.com/Solutions/Solution.asp?ID=2846>.

Benefits: JTAC considers the case management system to be "mission critical" to Indiana's trial courts. As such, the case management system must be highly available to its users. Unicenter technology permits CMS managers to monitor the performance of the case management system application and its supporting equipment and networks, to understand CMS behavior under various conditions, and to appropriately plan for network and system enhancements and additions. If the performance of a critical component of the case management system falls beneath preset thresholds, Unicenter alerts both JTAC and CA technical staff as well as the JTAC help desk so that corrective measures may be rapidly made and case management system users be informed of system status. Under some circumstances, Unicenter may "itself" initiate corrective actions predefined by project technical staff as appropriate corrective measures for certain classes of events.

Section 7: CMS Interfaces

As discussed in [FAQ 1.2](#), one of JTAC's principal goals is connecting current case management systems, and the new CMS as it comes on line, with each other and with local and state entities that need and use court information. To achieve this goal, our contract with CA requires that CA will provide computer programs called "interfaces" that will connect the new CMS with the databases of the Bureau of Motor Vehicles (BMV), Department of Correction (DOC), Family and Social Services Administration (FSSA), Indiana State Police (ISP), and the Department of Revenue (DOR), as well as ProsLink and a proprietary case management system used by several Indiana juvenile courts called Quest.

The details of these interfaces have not yet been developed with the agencies involved. Each of the entities listed will be deeply involved in the development process but the input of other stakeholders is needed as well. If you have any suggestions or would like to serve on a team that will work on these interfaces and related report-generating tools, please contact JTAC immediately.

7.1 Will the JTAC-sponsored system be connected to Indiana Bureau of Motor Vehicles (BMV)?

Yes. It is our goal that courts be able to promptly send and receive information relating to driving records and driver's licenses directly to and from the BMV electronically, facilitating the management of driving records, suspension and reinstatement information, and other records by the BMV. This process would also make it easier for the courts, the BMV, and law enforcement to hold drivers accountable for their actions. In addition, all county courts would have one direct link to the BMV through the CMS, rather than having to communicate with the BMV separately as they do now. The specific details of this interface still needs to be worked out between JTAC and the BMV. If you have any comments on this interface, please contact us.

7.2 Will the JTAC-sponsored system be connected to Indiana Department of Correction (DOC)?

Yes. It is our goal that courts be able to promptly send and receive pertinent information to and from the DOC. For example, the DOC "offender packet," which contains several pages of forms that must be filled out in order to transfer inmates from local jails into the state prison system, could be prepared and submitted electronically. In addition, it may be possible for courts to send electronically to DOC information on victims to be used by DOC to meet its victim notification responsibilities. The specific details of this interface still need to be worked out between JTAC and the DOC. If you have any comments on this interface, please contact us.

7.3 Will the JTAC-sponsored system be connected to Indiana Family and Social Services Administration (FSSA)?

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Yes. It is our goal that courts be able to promptly send and receive pertinent information to and from FSSA. For example, information regarding child support, adoptions, and CHINS cases could be prepared, handled, and shared electronically with the FSSA. The specific details of this interface still need to be worked out between JTAC and FSSA, including its relationship to ISETS. If you have any comments on this interface, please contact us.

7.4 Will the JTAC-sponsored system be connected to the Indiana State Police (ISP)?

Yes. It is our goal that courts be able to promptly send and receive pertinent information to and from the ISP for the criminal history database it maintains. For example, criminal dispositions should be sent electronically to the ISP and be readily available to appropriate personnel in real time. The specific details of this interface still need to be worked out between JTAC and the ISP. If you have any comments on this interface, please contact us.

7.5 Will the JTAC-sponsored system be connected to the Indiana Department of Revenue (DOR)?

Yes. It is our goal that courts be able to promptly send and receive pertinent information to and from the Indiana DOR. For example, tax warrants could be sent electronically to the CMS from the DOR. Further, we believe that there are some interesting possibilities insofar as improving the collection of outstanding fees in cooperation with the DOR. The specific details of this interface still need to be worked out between JTAC and the DOR. If you have any comments on this interface, please contact us.

7.6 Will the JTAC-sponsored system be connected to the Criminal Justice Institute (CJI)?

Yes. Although the contract with CA does not at present cover an interface with CJI, it is our hope and expectation that the courts will be able to send pertinent information to the Indiana CJI. This interface could simplify the ability of CJI to produce reports from our system. The specific details of this interface still need to be worked out between JTAC and the CJI. If you have any comments on this interface, please contact us.

7.7 Will the JTAC-sponsored system be connected to State Board of Accounts (SBOA)?

Yes. Although the contract with CA does not at present cover an interface with SBOA, it is our hope and expectation that the courts will be able to send pertinent information to the SBOA. This interface could simplify the ability of SBOA to produce reports from our system. The specific details of this interface still need to be worked out between JTAC and the SBOA. If you have any comments on this interface, please contact us.

7.8 Will the JTAC-sponsored system be connected to Indiana's Sex Offender Registry?

Yes. Although the contract with CA does not at present cover an interface with the Sex Offender Registry, it is our hope and expectation that the courts will be able to send and receive pertinent information to and from the Registry. The specific details of this interface still need to be worked out between JTAC and the Registry. If you have any comments on this interface, please contact us.

7.9 Will the JTAC-sponsored system be connected to the Indiana General Assembly and its Legislative Services Agency (LSA)?

Yes. It is our hope and expectation that the courts will be able to send information in real time pertinent information to the General Assembly and its Legislative Services Agency. This interface could simply be the ability of the General Assembly to produce reports from our system. The specific details of this interface still need to be worked out between JTAC and LSA. If you have any comments on this interface, please contact us.

7.10 Will the JTAC-sponsored system be connected to the new Indiana Voter Registration System?

We hope so. Because the new voter registration system will also connect county clerks' offices throughout the state, we think that there are many good reasons to connect the systems or at least try to develop them together. Although the contract with CA does not at present cover a connection with the voter registration system, we have met with the Indiana Secretary of State Sue Anne Gilroy, her staff, and the staff of the Indiana Election Commission on several occasions to determine how we can work together. If you have any comments on this connection, please contact us.

7.11 Will the JTAC-sponsored system be connected to local jail/detention facilities?

Yes. Although the contract with CA does not at present cover a connection with individual county jails, it is our hope and expectation that the courts will be able to send and receive promptly pertinent information to and from the local jail and detention facilities. It is very important to note, however, that JTAC does not currently have funding to connect the new CMS to existing county systems and so counties may have to bear the cost of connecting their jail systems to the CMS. Specific details of the interface needed to connect the new CMS with the jail in each county will need to be established by JTAC with the individual counties over the next several months. With that said, JTAC is committed to working with each county so that an interface between the new CMS and the jail is in place at the time the new CMS is implemented in that county.

7.12 Will the JTAC-sponsored system be connected to Indiana's Homeland Security Efforts?

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Yes. Although the contract with CA does not at present cover an interface with Indiana's Homeland Security efforts, it is our hope and expectation that the courts will be able to send and receive promptly pertinent information to and from Indiana's Homeland Security efforts. Since Indiana's homeland security efforts are currently being developed, it is somewhat difficult to pin point the nature of the interface at this time. The specific details of this interface still need to be worked out between JTAC and those involved in the Homeland Security efforts. If you have any comments on this interface, please contact us.

7.13 Will the JTAC-sponsored system be connected to Division of State Court Administration?

Yes. Courts will be able to send and receive promptly pertinent information to the Division of State Court Administration. In particular, most reports and forms will be distributed and able to be filled out and returned electronically and, in many cases, automatically. If you have any comments on this connection, please contact us.

Section 8: CMS Functionality and Features

8.1 Describe how your CMS identifies the jurisdiction (general or limited), office location (physical site), and case type for each case.

The CMS contains various dropdown fields that correspond to jurisdiction, location, case type, and other important data in a case. This allows for structured, reliable entry of the data for use in later reports and queries.

8.2 Can the CMS automatically assign case numbers for a case type (1) separately for each office location, (2) sequentially by case type, regardless of filing location, and (3) sequentially by case type, separately for each filing location?

The CMS application is very flexible in its ability to generate case numbers. This functionality is implemented through database triggers and can be changed to support any of the methods listed above. Many of the business rules in the CMS are implemented in the database to allow for quick modification without changes or rollouts to the client workstations.

The CMS supplies a task that can be used to modify or correct a case number.

There are no current restrictions on the case number. In the database, an internal case identifier is used to define a record. The case number is used as an alternate key on the database. This column can be modified to meet any requirements of the state.

The CMS supports assigning a separate citation number to a case number. At present, only one citation number may be associated with the case number, although several traffic charges can be associated with the charge and citation. Citations and cases filed by complaint can be tracked under a single case. The case subtype is used to track whether the case was filed by complaint.

8.3 How does the CMS handle consolidation of cases (combining two or more cases under one case after they have been filed separately and were assigned separate case numbers)?

The CMS has a menu option to consolidate two cases into a single case. This functionality copies the charges and other pertinent data from the old case to the new consolidated case. A reference is kept to point the old case to the new case number.

8.4 How does the CMS handle bifurcation of cases (permanent splitting of one case into two or more cases)?

The CMS has a menu option to copy a case into a second case. This functionality copies the charges and other pertinent data from the old case to the new case.

8.5 What are the capabilities of the CMS to copy or replicate information from one case to another (e.g., parties docket entries, minutes)?

The CMS contains two options for replicating information on a case. The first option is to replicate an entire case. Using this function, all details of the case are replicated to the new case. The second replication option is to replicate all relationships (parties) of one case to another.

8.6 How does the system handle case management tracking, based on "tracks" or categories (related to office-defined characteristics of the case), and user-defined time standards or milestones? How does the system track and report case status based on court-defined milestones?

Once a track has been identified for a case, database triggers automatically populate various case tracking events that can be used to define time standards or milestones. Reporting of case status is determined.

8.7 How are notices and forms produced by the CMS, and what aspects are customizable by the court (e.g., notice headings, notice text, font, spacing, and graphic elements such as a court seal, placement of data)? Does the system require an interface to a commercial word processor to generate forms and notices? If yes, which commercial word processors are supported and which does the vendor prefer?

The CMS uses Microsoft Word 95 or greater to produce all notices and forms. The CMS uses Word's mail merge capabilities to create document templates that merge data from the repository with the template to create the final document. Any of the standard documents supplied with the system can be customized using any feature of Microsoft Word. New documents may also be created and defined within the system.

8.8 What is the CCS/docket created by the CMS? What information is included on the CCS? Can CCS be printed/viewed on-screen? Can the user print/view the CCS for a specific date range or a specific item from the CCS? Can the CCS for a case be viewed/printed both in chronological order and reverse chronological order? Do future hearing dates post to the register of actions? Describe any customizable features of the CCS. Does the CCS allow for access to detailed case information, or images of filings, orders, etc.?

Each case within the CMS contains a record of all actions and developments in the case. The actions and developments are known as events. These events act as a progress docket for the

case. This progress docket maintains a list of past, present, and future events for a case. Each event tracks the following elements:

- Event Type
- Event Subtype
- Event Date and Time
- Event Location
- Jury Requirement
- Event Requested By
- Event Result
- Associated Name

From the case search screen, a user can search for a list of cases that in which a particular event has occurred and establish the range of dates in which the event occurred. After selecting a case, all events can be viewed/printed for the case in both chronological or reverse chronological order. These events are used to track all court dates for the case. The list of events and subtypes are codes defined within the system and can be configured by the user.

8.9 Does the CMS perform physical case file tracking?

The CMS has a file check-in/check-out process that is used to track the location of the physical file.

8.10 How does the CMS accommodate confidential attorney or clerk notes on a case?

Each user profile contains an office code to track the office to which the user belongs. Each case type implements the following features:

- Relationships
- Events
- Confidential Case Notes

The confidential case notes create a series of notes on the case that can be viewed only by the office of the person that created the note.

8.11 How are criminal and traffic sentencing data recorded and what type of data is supported?

The sentencing screen of a case is code driven and allows entries for each sentence component. The CMS contains a single screen to dispose of a case.

The top portion of this screen contains the charge disposition of information. The bottom portion of the screen is used to quickly enter the components of the sentence. This information is then converted to the appropriate codes and stored in the details of the case.

8.12 What are the capabilities of the report generating functions provided with the base software product? What options are available for using third party reporting software to produce custom reports from the CMS database (e.g., ODBC-compliant, proprietary products, etc.)?

Under the terms of the contract with Computer Associates, CA has supplied the Indiana judicial system licenses to use CA's CleverPath Reporter to generate reports. CleverPath is a highly regarded program for creating reports used by many major enterprises. Various standardized report forms will be available for use and individual users will also be able to produce custom report forms. However, users are not restricted to using CleverPath; other reporting programs can be used with the CMS.

8.13 How do tickler functions track various cases and accounting related milestones, time-lines, and other activities (e.g., filing of a document, payment of a fine, fast track guidelines, etc.)? Can multiple ticklers be assigned to individual events?

Tickler functions are implemented through the events. To establish the ticklers automatically, CA will implement triggers on the database to automatically populate the events. Using this feature, multiple triggers can be assigned to a single event. Using Microsoft Outlook with the CMS allows for users to automatically receive an e-mail, add to their task list, or add to their schedule.

8.14 How does the system track custody status for adult criminal defendants and juvenile offenders?

In current installations, the CMS is linked to various jail management systems. With these links, the CMS is provided with detention and release information. Computer Associates has written various programs to facilitate importing and updating this information within the CMS. CA's Jasmine ii Enterprise Application Integration suite is a part of the CMS and it can be used to create interfaces with legacy and other systems, including jail management systems.

8.15 How does the system track and report speedy trial deadlines for individual adult criminal cases?

As a case is added to the system, a trigger determines a speedy trial date depending on the case type for the adult criminal case. This speedy trial date is then added as a future CCS entry.

8.16 How are bench warrants created?

Adding the warrant event to the CCS entry for the affected cases creates a bench warrant. The warrant document can then be generated by the system.

8.17 How are the system's codes activated and deactivated so that old entries are maintained, but new entries of deactivated codes are not allowed?

Using the CMS Code Administration feature of the system, an administrator can deactivate a code. The system does not allow for the removal of a code to protect old data and for historical reference. When a code is deactivated, it no longer appears as a selectable option from the dropdown selection.

8.18 Does the system have scheduling features or edits that prevent scheduling events when a conflict exists for one or more participants (e.g., judge, officer, or witness availability)?

The CMS does not prevent scheduling when a conflict exists. However, a trouble report is created that shows all scheduled cases where a conflict exists.

8.19 How does CMS support a goal, such as "one family, one judge," which requires us to be able to understand the full range of involvement a family has with the Court at a given time?

The CMS provides a common directory for all persons tracked by the system as a basic feature. Thus, an inquiry on a specific person will return all the cases that person is involved with, as well as their role in that case. Since roles in the CMS are defined by the court or agency using the system, additional parties could be associated with a case to provide a basis for an integrated family information system. Probation officers and others (e.g., child protective service, Medicaid, and other professionals) could be associated with a case as well.

8.20 Will the CCS maintain a record/history of changes in address and changes in counsel throughout the case?

Yes. CMS' directory module maintains a history of ALL address changes for all parties to an action.

8.21 Will the CCS have a place for mailing address AND for physical address?

CMS' directory module supports both these address types and many more.

8.22 Will the CCS have a place for all identifying info, such as OLN, SSN, height/weight/eyes/hair/marks/etc.?

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Yes, CMS' directory module permits the user to associate both numerical and physical descriptors with an individual. Personal description information is entered according to NCIC standards.

8.23 Will the CA system and its \$\$\$/financial package allow for Community Corrections and Probation Depts to track fees and receipts? What about jails that collect book-in fees or daily inmate charges per statute?

CMS' financial system is a Clerk's financial system. Monies paid into the Clerk or tracked, collected and disbursed by the systems accounts receivable, accounts payable and general ledger modules. Monies paid into the Court via other agencies can also be tracked, although system modifications and hardware required must be determined.

8.24 Will the CMS allow Clerk's to accept partial payments on fines, costs, fees, and keep a running balance report? What about calculating the interest the Clerk now collects on unpaid costs and fines?

Yes.

Section 9: CMS System Architecture Issues and Concerns

9.1 What is the overall architecture of the CA solution?

To be effective and reliable, the CA solution is based on the following principles:

- Internet standards, such as TCP/IP.
- Support and ensure exchange of data by multiple agencies.
- Security standards aligned with NCIC 2000 requirements.
- Comply with national standards such as those from the National Center for State Courts.
- Accountability and security.
- Self-manageable and deployable through high levels of automation.
- Minimize costs.
- Streamline operations and ensure high availability.

The CA solution provides for a central repository for all the case and directory data. This repository will be located in Indianapolis. Although the repository is centrally located, the CMS allows for local configuration and administration.

9.2 If the data resides in Indianapolis, how will my county run reports?

The CMS provides a selection of predefined reports that are generated from the system. These reports use CA's CleverPath Reporter Print Engine. By using a report writer, CA allows users to create their own reports and save them for future use. This flexibility allows the system to change according to user needs.

Whether data is stored in Indianapolis or elsewhere, because all court data will be stored electronically and because all counties using the CMS will be able to connect to that data using an Internet connection, counties will be able to run reports from terminals in their offices that run the CMS. A user will never be aware of the storage location in normal usage.

9.3 What type of security will the system have?

The CMS allows access to the information stored in the Oracle RDBMS only to users who have the security profile for access to that information. These users profiles are themselves established in the Oracle RDBMS and indicate the information to which a profile has access and the type of access that has been granted. Each user has one or more of these profiles.

Beyond the restrictions identified above, additional levels of security can be implemented at the court or agency level. Using the application security features, administrators can restrict access to menu items or screen fields.

The CMS restricts access to the entire case for sealed cases.

9.4 What will be done to ensure the reliability of the system?

It is crucial for the protection and integrity of the system and that there is NO SINGLE POINT OF FAILURE in the CMS. We expect that in addition to having the CMS itself running at all times, a back up CMS will always be ready to take over in a matter of minutes if there is a failure. In addition, we expect that we will have an arrangement for a third CMS in the case of a major catastrophic event.

9.5 Who is going to maintain this network?

During the initial implementation period, including the pilot projects and the installation in the remaining counties, a team of state employees and CA employees will manage and maintain the CMS and its connectivity. Once the implementation period has ended, we anticipate that the state will maintain the system.

9.6 Does the state have access to the source code?

Yes. Under the terms of the contract with CA, the state will always have access to the source code for the CMS and will be able to modify it as the state wishes.

9.7 Will I have to call Indianapolis to add a new employee to the system?

No. Counties will be able to add new employees through the CMS user maintenance screen. Counties may also call the Help Desk for assistance.

9.8 How is data conversion (from legacy CMS's) going to be handled?

Data conversion will be done on a county-by-county basis, based upon the desire of the county implementing the new CMS. Since the cost of data conversion will most likely be the responsibility of the county, counties are encouraged to start thinking about this issue early in the process. There are many forms of "data conversion" that should be considered.

Data conversion is a major part of a technology project such as this, and will only be as successful as the quality of the data being converted. Data conversion will be a separate sub-project for each county with data to be converted. Some counties do not capture or structure their data and other counties have issues with the quality of the data they currently have. As such, each county's data conversion will be handled separately. But one principle will apply to data conversion in each county: it will not be taken lightly. CA has data conversion experts who will be available for this specific and critical task although no county will be required to use CA for this purpose.

CA has a proprietary data conversion process known as DM Solutions. The DM Solutions team uses a proprietary methodology to examine 100% of the source data. That analysis, coupled with transformation sessions with subject matter experts, provides the data transformation process. This coupled process allows for the reduction in the number of data

Section 9: CMS System Architecture Issues and Concerns

loads required using traditional sampling methods. CA provides these services on a fixed fee basis after determining the number of columns and rows in the source system.

Section 10: CMS Hardware and Software Issues and Concerns

10.1 What are the recommended software requirements to be able to run the CMS?

We will not know the specific software requirements until we complete baseline tests of CA's products. In general, the CMS desktop software requires runs on any Windows operating system beginning with Windows 95. At least 16M of RAM is required and 50M of available disk space for installation of the desktop software itself and associated database drivers.

10.2 What is the recommended networking configuration? Will our county have to make any networking modifications?

We will not know the specific network requirements until we complete baseline tests of CA's products. CA prefers that workstations access the central CMS database over a T-1 connection. TCP/IP connectivity from the desktop to the server is required.

10.3 What hardware will our county be required to obtain?

We will not know the specific hardware requirements until we complete baseline tests of CA's products. Because of the centralized configuration of the CMS, counties will not be required to purchase or maintain servers on which to run the CMS.

Section 11: Project Management Methodology

11.1 What resources and tools will be needed to manage this large-scale project?

The CA Program Manager, working with JTAC's Project Manager, will have overall responsibility for delivery of the project. The CA Program Manager will use various tools and proven methodologies to manage the project, with a special focus on:

Scope Management

Scope Management includes the processes required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. It consists of initiation to proceed, scope planning, scope definition, scope verification and acceptance, scope change quantification, scope change development, scope change control.

Time Management

Time Management includes the processes required to ensure timely completion of the project. It consists of activity definition, activity sequencing, activity duration estimating, schedule development, effort tracking, and schedule control.

Cost Management

Cost Management includes the processes required to ensure that the project is completed within the approved budget. It consists of resource planning, cost estimating, cost budgeting, and cost control.

Implementation Management

Implementation Management includes the processes required to ensure that the various elements of the project are properly coordinated. It consists of project plan development and project plan execution.

Human Resource Management

Human Resource Management includes the process required to make the most effective use of the people involved with the project. It consists of organizational planning, staff acquisition, and team development.

Communication Management

Communication Management includes the processes required to ensure the timely and appropriate generation, collection dissemination, storage, and ultimate disposition of project information. It consists of communication planning; information distribution; status reporting; project team status meetings and collaboration between staff members, JTAC, the Division of State Court Administration, the Indiana Supreme Court, and key members from other agencies and other stakeholders; and formal review and approval signoff.

Issue Management

Issue Management includes the processes concerned with identifying, analyzing, and responding to project issues. It consists of issue planning, issue identification, issue quantification, issue resolution development, and issue control.

Risk Management

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Risk Management includes the processes concerned with identifying, analyzing, and responding to project risk. It consists of risk planning, risk identification, risk quantification, risk strategy development, and risk control.

Quality Management

Quality Management includes the processes required to ensure that the project will satisfy the needs for which it was undertaken. It consists of quality planning, quality assurance, and quality control.

Project Scope Changes

CA's has a strict change control process so that JTAC may appropriately document and approve changes to the agreed scope of services. The CA Program Manager will report the project status at least once every week to the JTAC Project Manager. Status meetings will occur either in person or telephonically.

11.2 Who will be responsible for coming into our county and installing the CMS?

For a midsize to small county, JTAC will provide an installation team, which will include four JTAC employees and two CA employees, to install the CMS in your county.

11.3 Why did JTAC select Marion County for an initial pilot project, and will JTAC use other counties as part of its pilot program?

JTAC's vision for the pilot program includes three counties: one large, one medium, and one small county. Marion County was chosen because it handles the largest volume of court cases of any Indiana county-approximately 20% of the statewide total-and in some respects, represents the most complicated court structure in the state. JTAC has yet to determine which two counties will be the medium and small pilot counties.

11.4 What is the selection criteria and process for pilot projects? When will the pilot projects be selected? When will they be up and running?

The first selection criterion for the pilot projects is the size of the counties chosen. However, the counties chosen will also need to meet additional minimum requirements (which have not yet been determined) with regard to their preparedness for installation. These requirements will be determined in consultation with CA.

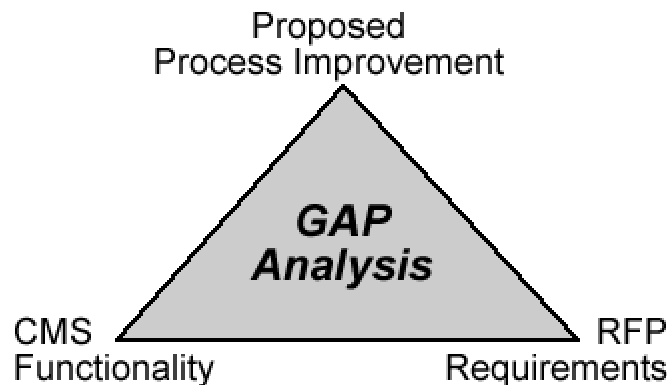
JTAC anticipates selecting a medium and a small county for the pilot projects by the end of 2002.

11.5 What is JTAC doing to ensure that all stakeholders are involved in this project?

First, JTAC has been communicating its plan and progress with the public and members of the judiciary through the website and its monthly newsletter for more than a year. In addition, JTAC, the Supreme Court, and the Division of State Court Administration have been involved in discussion and planning with many judges and clerks and key members from state and county agencies, including the Bureau of Motor Vehicles (BMV), Indiana State Police (ISP), the Marion County Sheriff's Department (MCSD), the Indianapolis Police Department (IPD), the Indiana General Assembly, the Department of Correction (DOC), the Department of Revenue (DOR), Family and Social Services Administration (FSSA), the Indiana Criminal Justice Institute (CJI), Indiana's Chief Information Officer, and many, many more.

The Association of Indiana Counties and State Board of Accounts have been regularly consulted and their involvement actively solicited.

JTAC and CA are also conducting a series of "discovery sessions" with CMS stakeholder agencies through the first week of December, 2002 so that CMS requirements needed to support Indiana courts are documented and formally agreed upon by all parties. Out of this process will emerge a more detailed description of each requirement, which will be mapped directly to specific functions and processes in the CMS system (Figure 1).



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Figure 1. Gap Analysis

Objectives of the discovery process follow:

- Explicate and validate stakeholder business rules, regulations, and procedures.
- Thoroughly review proposed processes and identify the appropriate configuration of the CMS application in light of Indiana's needs.
- Cross-reference all requirements, as specified, to CMS system functions and processes to ensure comprehensive requirements traceability.
- Conduct gap analysis to identify and agree upon required customizations and their implications on the project scope.
- Provide JTAC staff an opportunity to become familiar with and understand the new system's functionality and capabilities, supporting both an understanding of process opportunities and facilitating change management goals.

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- Produce deliverables required for formal completion of the requirements phase and commencement of subsequent project phases and activities (construction of CMS modifications, training, testing, pilot).
- Establish a functional baseline to provide a solid foundation for effective change control.

Discovery sessions have been scheduled with judicial officers, clerks of court, probation officers, prosecutors, public defenders and financial specialists.

To gain a complete understanding of the breadth of this project and JTAC's commitment to comprehensive collaboration among all stakeholders, please view the webcast of the press conference held on July 23, 2002 announcing the contract with Computer Associates and the pilot project in Marion County.

Section 12: CMS Training and Support

12.1 How will training be handled under the new CMS? How will the end-user be trained?

CA's approach to CMS training is "train the trainer." JTAC will designate a number of people who will be trained in CMS support skills by vendor staff. JTAC and county trainers will, in turn, train end users.

12.2 What type of technical support will our county be able to expect?

JTAC's vision for CMS technical support encompasses multiple support levels. Within a county, designated technical support contacts ("super users" or county IT staff assigned to support CMS) will have access to JTAC's help desk software and problem resolution database. Questions that cannot be answered by the county's local support team will be escalated to the JTAC help desk. JTAC intends to staff this function with up to four "level 2" support analysts to provide support to each court's CMS implementation and to liaise with CA's Premium Support team. CA staff will, in turn, support the JTAC staff when an issue must be escalated to the vendor for problem resolution or research.

CA will provide either on-site or telephone pre-implementation support to resolve technical problems and questions. Through CA's Premium Support offering, support is available 24 hours per day, seven days per week.

12.3 What if our county encounters a software "bug" or various problems with the CMS software?

CA expects to have at least one software version upgrade per year. If a software defect is discovered in a general release of the CMS software, CA will provide a patch to eliminate the defect. Enhancements can occur for a variety of reasons, including, among others, software malfunctions (bugs), legislative changes, and technology updates. Enhancements can be either vendor-initiated or client-initiated. Significant software bugs will generally result in patches, enhancements or new versions of the CMS beyond regular upgrade releases. It is CA's intent to continue to consult with the state on the necessity to enhance the CMS because of legislative changes. Technology changes will be evaluated to determine whether they support an enhancement to the CMS.

CA typically conducts stringent and wide-ranged application testing prior to release. This testing includes:

- Process functionality of the data
- Entry, retrieval, update, and delete functions of the system
- Acceptable system response time
- All data management functions; and
- Management and statistical reporting function.

12.4 Will our county be able to participate in an ongoing CMS user group?

CA does not currently sponsor a user group specifically for the CMS product. CA does sponsor an annual national meeting of all its users called CA World. Please see www.ca.com/caworld for more information. JTAC, however, intends to start a user group.

12.5 What is CA's business plan for keeping its products current with emerging technologies that offer improvements in functionality, speed, and performance?

CA reports that it invests hundreds of millions of dollars every year in keeping its product base current with emerging technologies that improve the functionality, speed, and performance of that product base. In addition, over the last two years CA has expended more than \$7 billion acquiring companies to enhance the functionality, speed and performance of its product offerings. Through internal research and development and external acquisition, CA will continue to keep its products on the leading edge of technology.

12.6 Describe any on-line help capabilities of your product. At what levels is the help function available - module, screen, field, etc.? Can the help information be customized by the court to include office-specific procedures and instructions?

The CMS application fully incorporates on-line context sensitive at the screen level. The screen help information gives a full description of all the fields on the screen as well as any screen interactions that are available. The text also contains procedures to provide common tasks that may be performed on that screen. The help text is maintained in Microsoft Word using RoboHelp to compile the information into an .HLP file. This file may be modified to include office-specific procedures and instructions by changing existing topic information or adding links in existing topics to new customized topics.

Section 13: CMS Peripheral Technology Interfaces

13.1 Document Imaging/Scanning

The CMS contains a document management system, but at this time JTAC is still trying to determine how to proceed with document imaging. JTAC currently anticipates that, at least until the CMS is fully implemented statewide, counties that elect to utilize document imaging will need to undertake and fund the efforts on their own. JTAC is, however, deeply interested in imaging and anxious to work with counties to assure seamless integration between county imaging initiatives and the CMS.

13.2 Kiosks

JTAC would like to work with counties that seek to install kiosks in courthouses and other public places to improve public access to court information.

13.3 Court Recording

Some courts use digital audio recording in the courtroom to document cases. While JTAC does not intend to provide counties with digital recording devices, the CMS will support the storage and access to digital files that could be associated with individual cases.

13.4 In-house monitors

JTAC anticipates future installment of information monitors in courthouses that will display updated information on the progress of cases being heard in the courtroom, information on the CCS, etc.

13.5 Exhibit Management

The CMS will be able to track exhibits presented in cases.

13.6 Microfilming

Courts and clerks may elect to continue and fund a microfilming program on their own. However, JTAC anticipates that records that are maintained electronically would be converted directly from the image to microfilm using a central server and according to retention schedules found in the Administrative Rules.

13.7 PDAs

Pertinent information from the CMS may be made available through wireless devices.

Section 14: CMS Interfaces with Existing Rules

14.1 Retention schedules

The CMS programming has the capacity to incorporate the means to automatically apply judicial retention schedules found in Administrative Rule 7 to records created and maintained by the system. The system will permit records stored electronically to be disposed or converted to microfilm according to the appropriate retention schedule.

14.2 Privacy

The CMS system will be designed to monitor current and future statutes and rules regarding availability of personally identifiable data and restrict access to only those permitted by law or rule. The system will address such privacy issues as use of the Social Security number and to minimize identity theft.

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